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ABSTRACT

Information on the Office of Scholarships and Student Financial Aid of the University of Delaware is presented, based on a 1979-80 program review for the Council on Program Evaluation (COPE). The office's location in the University of Delaware's organization, sources of funding for the office, its major goals and purposes, and past and future directions or the office are identified. Additionally, the way that current and projected goals and purposes of the unit relate to the instructional, research, and service programs of the university is addressed. Six general functions of the financial aid office are outlined as follows: planning a program, communicating with the applicant, awarding the aid, reporting the activities of the aid program, evaluating the program, and keeping abreast of federal legislative and regulatory changes. Steps that occur in the student aid delivery system and the following parties who are typically involved in the delivery system are identified: the student, the high school guidance counselor, the centralized need analysis services, the federal and state governments, the commercial lending institutions, and the University of Delaware's Office of Financial Aid. Additionally, the financial aid office must perform numerous administrative, counseling, fiscal, and reporting procedures. Reporting and fiscal operations that have been developed to conform to the Basic Educational Opportunity Grant Program are outlined, and requirements for the Guaranteed Student Loan program are indicated. The relationship of the financial aid office to other university administrative units and its outside consulting, service, and other activities are considered. Information is also presented on personnel, evaluation activities of the office's functions, management of the office, and problem areas, and a program review questionnaire is included. (SW)

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PROGRAM REVIEW: ADMINISTRATIVE UNITS AND SERVICE UNITS, COPE STUDY 1979-80

Office of Scholarships and Student Financial Aid, Delaware University

Newark, Delaware

1979

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UNIVERSITY OF DELAWARE INTER-DEPARTMENTAL

Memorandum

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MAY 21 1979

FINANCIAL AID

May 17, 1979

TO: C. R. Huggins
H. Smith
D. S. MacDonald

FROM: E. E. Schweizer, Chairperson
Council on Program Evaluation

E E Schweizer/wc

SUBJECT: Evaluation

It has come to our attention that, in the past, some units and/or departments did not involve their faculty or members in the preparation of the responses to the COPE questionnaire. We request that you endeavor to include your faculty and/or staff in this process, and that you share with them the information you intend to deliver to the COPE Office.

We would also like to have a copy of your five-year plan and annual report to include in the Task Group materials.

Your cooperation is greatly appreciated.

EES:wc

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PROGRAM REVIEW QUESTIONNAIRE

Administrative and Service Units

A. Description of the Unit's location in the University of Delaware organization:

1. Describe the organizational position of the unit at the University of Delaware. (Page 1)

2. What are the sources of funding for the unit? (Page 1)

B. Unit Goals/Objectives, and Purposes:

3. What are the current major goals and purposes of the unit? (Page 1)

4. Describe how these goals and purposes have changed over the past three to five years. (Page 3)

5. What goals and purposes are projected for the unit over the next three years? Why? Is your unit flexible enough to allow it to change rapidly and to shift resources effectively? (Page 3)

6. How do the current and projected goals and purposes of the unit relate to the instructional, research, and service programs of the University? (Page 5)

C. Unit Functions in the University:

7. Outline the functions of the unit. Separately budgeted entities within the unit should be shown as subprogram. (Page 7)

8. What other units on campus bear a special relationship to yours? E.G., what other units share common interests, similar or closely allied goals, staff in common, etc. Give specifics. (Page 19)

9. Are there demonstrable needs for functions in your unit which are not now met? If so, please describe. (Page 20)

10. What relationship has the unit, if any, to Continuing Education programs, services, and students? (Page 21)

11. What factors have contributed to the unit not being able to achieve total success in all of its functions? (Page 21)

12. What consulting, service, or other contributory activities does the unit specifically perform inside and outside the University community? (Page 22)

D. Unit Personnel Summary:

13. Present the personnel organization chart of the unit, specifying all positions, both professional members and staff, included in the unit. For each type of position, prepare a statement of minimal qualifications and duties. (Page 23)

14. What is the personnel "turnover" rate in the unit for the past three years? What reasons or factors contribute to the this turnover rate? How has it affected the unit's functions? (Page 23)

15. What are the projected personnel (all levels) needs for the unit for the next three years? Please relate this answer to items B-5 and C-9 above. (Page 24)

E. Evaluation of Unit Functions:

16. Describe the major strengths and weaknesses of the unit's functions as they relate to unit goals and purposes. (Page 24)

17. Describe the processes, procedures, and criteria that have been (last 3 years) or that are currently employed to evaluate the quality of unit functions? Have any inter-institutional studies or surveys been completed which suggest how the unit compares with similar ones in other universities? (Page 24)

18. To what extent have the "users," "clients," or "consumers" of the unit's functions been asked to evaluate those functions? Please be specific and present available data in summary form. What consumer groups are the major users of the unit's functions? (Page 25)

19. What areas of the unit's functions are considered to be important contributions to the field of service? What aspects of the unit's functions are especially creative? (Page 26)

20. What type of evaluation of the unit would yield the most valid data in your judgment? (Page 27)

F. Unit Management:

21. Give a complete description of the organization of the unit. What is its operational structure? How and by whom are unit goals/policies established? How and by whom are operating practices established in the unit? (Answers to these questions should provide the reader with a succinct picture of the organization and management of the decision-making, advice-giving, and operation of the unit.) (Page 27)

22. Describe all personnel evaluation and promotion procedures used in this unit. What special problems do you identify in this area? (Page 28)

23. Describe all personnel training and staff development activities by the unit for employees of the unit. What special problems do you identify in this area. (Page 29)

G. Survey of Major and/or Chronic Problems/Concerns Confronting the Unit:

24. Describe the major/chronic problems, issues, or concerns you identify as confronting the unit currently. What different problems do you project over the next three years? For each problem, please share your thoughts on effective possible solutions. (Page 29)

H. General

25. Please comment on any of the above questions which you believe to be inappropriate or inadequate for contributing to an information base for an in-depth evaluation of the unit. What additional questions should be asked? (Page 30)

26. What measures of cost-effectiveness would you consider valid for your unit? (Page 31)

27. Would you like to work with the Council on Program Evaluation (COPE) during 1974-75 in doing an in-depth review of your unit or would you prefer to postpone such a review for one or two years? (Page 31)

28. For purposes of comparison, what other units which have a special relationship with yours should be evaluated concurrently with yours? Please explain.

PROGRAM REVIEW
ADMINISTRATIVE UNITS AND SERVICE UNITS
COPE STUDY 1979-80

A. Description of the unit's location in the University of Delaware organization:

(1) Describe the organizational position of the unit at the University of Delaware.

The Office of Scholarships and Student Financial Aid's Director reports to the Vice President for Student Affairs and Administration.

(2) What are the sources of funding for the units?

The administrative support funding for the unit comes from a combination of institutional funds and federal administrative subsidies. The sources of funds that the unit administers and awards includes federal, state, institutional endowments, and public and private donations.

B. Unit goals/objectives, and purposes:

(3) What are the current major goals and purposes of the unit?

Once goals and objectives have been carefully considered, then specific strategies and procedures are structured to implement them (as discussed in this section).

The following represents the purposes of the University of Delaware's Scholarship and Financial Aid Programs:

1. To provide access to University of Delaware.
2. To provide retention in the University of Delaware.
3. To provide students a choice of attending the University of Delaware as opposed to lower cost universities.
4. To attract high quality academic oriented students.

The following represents the goals of the University of Delaware's Scholarship and Financial Aid Programs:

To provide responsible and responsive management of student financial aid programs.

The following represents the current 1978-79 objectives of the University of Delaware's Scholarship and Financial Aid Programs:

1. To administratively prepare for the increase in management responsibilities resulting from new federal legislation that has greatly increased both the volume of dollars available in student financial aid programs

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and in number of students eligible for participation in financial aid program. Specific steps taken to adequately prepare for increases in program management include:

a. The development and implementation of new technology.

b. The increase in office facilities.

c. The increase in professional and regular salary staff.

d. The increase in support account funds.

e. The reevaluation of professional and regular staff salaries.

2. To plan the implementation of the College Work-Study Job Development Program utilizing federal monies.

3. To improve and refine the dissemination of student consumer information. Specific steps to improve the dissemination of student consumer information include:

a. Continued refinements in the Financial Aid Office In-Service Training Program.

b. High School Seminars - Out Reach Program.

c. University Community In-Service Education Program.

d. Student-to-Student Program.

e. The development and refinement of brochures and other communication and media techniques that promote the general dissemination of financial aid information.

4. To improve the coordination, and cooperation between the Financial Aid Office and the Accounts Receivable Office, the administration of the student financial aid programs - specifically concentrating on improvements in the management of the National Direct Student Loan Program.

The 1979-80 goals include:

1. To improve the computerized financial aid system. The necessary review of follow-up modifications through the system include:

a. Refinements in the College Work-Study payroll area.

b. The utilization of Office of Education tape exchanges, including, Basic Grant tape validations.

c. Improvements in the award delivery area.

d. Full utilization of the retrieving and sorting of information resulting in improved reporting capabilities and full utilization of restrictive scholarships.

2. To refine and improve the dissemination of student consumer information, including, the utilization of the Student Advisory Council and the Student-to-Student Program. Specific areas of improvement include the refinement of financial aid brochures, the development of media presentations, and the promotion of counseling concerning economic literacy (for example, money and budget management).

3. To continue cooperation and coordination with the Office of Billing and Collection/Accounts Receivable, resulting in improved monitoring of federal regulatory and fiscal administrative regulations. In addition, the accounting procedures involving the College Work-Study Program will have to be refined.

4. To improve in-service training in terms of frequency of training sessions and coordination of the different dimensions of in-service training, including, orientation for new staff, data processing training, fundamentals of financial aid program management, and the updating of written office manuals. Continued training is necessary in order to keep abreast of the new legislation and regulations impacting upon the administration of federal and state financial aid programs.

5. To improve the research capabilities with the intent of providing student financial aid profile information to the federal, state, institutional, and higher education community parties. In addition, the development of a grant proposal for the financing of the improvement of Postsecondary Education Grant Programs and a review of the implications of continuing education and adult students participating in the financial aid programs. At the same time, maintaining a standing in attracting students of exceptional academic promise to the University of Delaware.

6. To monitor and adhere to federal and state regulations and the changes in the federal and state financial aid administration issues.

(4) Describe how these goals and purposes have changed over the past 3-5 years.

In the past three years, the purpose of financial aid have evolved from broad philosophical purposes to specific objectives that center around the methodology of implementing the broad philosophical goals and purposes.

(5) What goals and purposes are projected for the unit over the next three years? Why? Is your unit flexible enough to allow it to change rapidly and to shift resources effectively?

The Office of Scholarships and Student Financial Aid will adhere to the broad purposes of providing access to retention in and in choice of postsecondary education opportunities.

Beyond these purposes, some of the issues that will surface in the next three years will include the following:

1. The need for consumer economic literacy regarding the planning and financing of postsecondary education.
2. The amount of loan indebtedness that students can reasonably manage.
3. The improvement of the delivery system of award information to students and families so that they can better plan college attendance.
4. The improvement of technology and system management of financial aid programs.

In the next three years the emergence of the financial aid programs as critical factors influencing the student's decision to attend college will be accepted as a truism in the higher education community. In order to help families finance the escalating costs of higher education, the financial aid programs will become increasingly important. As the programs emerge, new problems will develop in terms of sophistication of management of these programs and the delivery of funds to students and accompanying services. Large, captive audiences will participate in financial aid programs.

The unit is flexible enough to cope with the rapid and significant changes resulting from federal and state legislative mandates and institutional priorities. The shifting of resources, quickly and effectively, is a basic and a necessary requirement of administering the financial aid programs. Because of the political nature of the financial aid process, the administration of a financial aid program necessitates quick administrative adjustments and a thorough understanding of the state, federal, and institutional bureaucracies. Familiarity with the different federal, state, and institutional bureaucracies enables the Office of Financial Aid to be creative in terms of management, as opposed to being reactive in responding to heavy-handed federal regulatory intrusion. In addition, specific utilization of financial aid technology allows the unit to monitor resources enabling the unit to shift resources equitably and effectively. A specific example of goals and office objectives is the implementation of new federal legislation called the Middle Income Student Assistance Act that resulted in a greatly increased volume of federal funds available to assist students, and also, resulted in the liberalization of eligibility participation requirement resulting in an increasing number of students eligible for financial aid. In order to cope with this dramatic increase in dollars and students, the Financial Aid Office followed the legislation and we planned early in order to cope with the new administrative management burdens resulting from the new legislation.

(6) How do the current and projected goals and purposes of the unit relate to the instructional, research, and service programs of the University?

A. Instructional - The financial aid programs are the means that provide the financial resources for students to pay the escalating costs of attending college. The University offers a product and the Financial Aid Office assists the client or student in obtaining the product by assisting in financing the cost of the purchase, or discounting the cost of the purchase of the product. The financial aid programs seek to remove the economic barriers that might prevent the student from achieving academically. It is difficult for a student to master a discipline without having the required books and supplies. Interwoven with the economic barriers, are other personal and emotional barriers which may prevent the student from achieving academically. The Financial Aid Office helps to identify these problems and on a referral basis, will suggest appropriate counseling or will recommend other areas that will more correctly serve students. The Financial Aid Office also administers specific programs that inter-relate with the instructional objective; for example, the administration of the Teaching Assistantships is the responsibility of the Office of Financial Aid, as is the monitoring and renewals of all academic scholarships. The College Work-Study Program provides instructional services to the University Community by allowing students to be employed in assisting various academic departments in completing their academic objectives. Also, the College Work-Study Program provides students with jobs that are career related.

B. Research - As a result of the financial aid data base, including the economic profile of financial aid recipients, the Financial Aid Office is able to provide important information to various offices on campus that require financial aid data concerning students. The Admissions Office, the Accounts Receivable Office, the Billing and Collection Office, the Registration Office, the Payroll Office, the Housing Office, the Institutional Research Office, the Athletic Department, the Freshman Honors Program, the College Try Office and the Minority Office are all offices that regularly require information from our unit. The escalating costs of a higher education, the adverse fiscal realities of an inflationary economy, and the declining student market make financial aid information an important data resource that institutional policy decision-makers often require for planning proposals.

C. Service - In addition to the regular services, such as, dissemination of the financial aid information, counseling students, providing inexpensive manpower supply through student employment, and providing specific assistance to students regarding money management, the Office of Financial

Aid serves on a number of advisory capacities within the University and external to the University.

Many of these advisor roles external to the University include:

1. Assisting the state with the administration of the loan program.
2. State Scholarship Program.
3. State's 1202 Postsecondary Planning Commission.
4. Dimer Program.
5. Federal Office of Education.
6. College Entrance Examination Board/College Scholarship Service (have been elected to be a representative in these groups).
7. Members of our staff have been selected to be members of the Advisory Council in order to consult with these groups regarding service.
8. Provided state leadership in the development and planning of the State Student Financial Aid Training Program (federal and state funded program).
9. The Financial Aid Office participates in high school financial aid seminars throughout the state and participates in College Night, including the Educational Opportunity Fair sponsored by the University of Delaware.
10. Per request, have made presentations to various professional and community groups, including, eastern administration councils, college and university business office organizations, regional financial aid organizations, and provide student employment service for non-profit community organizations.

Institutional service areas include:

1. Meetings with the Returning Adult Student Organization.
2. The University of Delaware's Student Government.
3. Various dormitory seminars.
4. Special presentations to the Minority Center and College Try Programs.
5. Various meetings and seminars with administration offices, including, Admissions, Accounts Receivable, Billing and Collection, advising the Alumni Association regarding scholarship awarding.
6. Meetings with the Continuing Education area.
7. Coordinating the administration of all the University's colleges in the awarding of various scholarships. Some of the colleges are the College of Engineering in the special Dupont Minority Program, the Nursing

College in the federal nursing scholarships and loans, the College of Human Resources in various academic scholarships, the College of Business and Economics, and the College of Arts and Sciences in recruitment banquets that involve specific presentations by the Financial Aid Office.

8. Administration of the various academic scholarships that are utilized for recruiting students of exceptional academic promise.

9. Various University committees, including, the reopening of Daugherty Hall, the Undergraduate Cabinet, the New Student Program, Scholarship Committees, and the teaching of undergraduate and graduate courses.

The University's Financial Aid Office administered over $10 million in the 1978-79 academic year. The office will administer over $14 million in the 1979-80 academic year, which is equal to approximately 14 percent of the institution's total budget. Consequently, the service to the institution is also a fiscal revenue impact contribution.

In summary, student aid programs can serve specific institutional interests, such as, enhancing the institution's academic reputation through the use of scholarship monies. In addition, an increase in student aid programs financed by state and federal funds is the result of a need to serve related state or national interests. For example, the Nursing Loan Scholarship Program is based upon a state or national need for specific manpower requirements. The Office of Financial Aid believes that when an individual develops to their capacity, the benefits are social, as well as, personal. Student financial aid programs are an investment in the individual, institution, and the society at large. While individual programs may have limited criteria and goals, the collective affect of all programs has been to benefit all of us.

D. Unit Function in the University:

(7) Outline the functions of the unit. Separately budgeted entities within the unit should be shown as subprogram.

The response to this question is presented in three sections. The first section includes a brief discussion of the six general functions of the Financial Aid Office. The second part includes a brief overview of each of the steps that occur in the financial aid delivery system and examples of specific tasks included in the financial aid delivery system. The third section includes attachments of the office budget and support accounts. These accounts are the funds used to finance various functions in the office. These accounts are included in the attachments.

1) General Functions of the Financial Aid Office.

The Financial Aid Office has six basic functions: 1) planning a program; 2) communicating with the applicant; 3) awarding the aid; 4) reporting the activities of the aid program; 5) evaluating the program; 6) keeping abreast of federal legislative and regulatory changes.

1. Planning the Aid Program

Before developing a specific student financial aid program, our unit determines an overall philosophy in specific goals and objectives.

A. Advanced Planning

Once goals and objectives have been established and policies defined, we plan to work within that framework. The planning includes several critical tasks:

1. Ascertaining of funding requirements and staffing needs.
2. Construction of appropriate student expense budgets.
3. Planning communication for appropriate publics - including, planning announcements, publishing catalogs, announcing the availability of general and specific programs, and the recruitment of students - eg., through high school seminars and academic scholarships.

B. Planning the Award Process

This includes:

1. Ascertaining financial need and identifying other qualifications related to the criteria of the aid program.
2. Confirming the student's eligibility for admission to the institution.

C. Awarding Aid

This includes:

1. Selecting the kind of aid.
2. Packaging the aid.
3. Notifying the student of the aid.
4. Award monitoring and control.

D. Award Review

This includes:

1. Reviewing the awards made.
2. Making adjustments that are needed in view of changed circumstances (either on the student's part or the institution's part).
3. Making notification of any such adjustments.
4. Ascertaining reporting and evaluation needs.

II. Communication with the Applicant

One of the most crucial aspects of our aid administration is communication with the various people that the aid program serves, especially the applicant and the parents. Communication is accomplished in a variety of different ways:

1. Publication and distribution of program announcements describing the kinds of aid available, institutional costs, procedures, and deadlines for applying, and other pertinent information.
2. Publication of costs and general financial aid information in the institutional catalog and brochures. All cost information is complete (including more than just tuition and fees, dormitory rates, and cost of books) and accurate. This information includes details about application and award procedures as well.
3. Verbal presentation to groups of students, parents, counselors, or others; although time consuming, we have found this to be a very good way to communicate the program directly. It strengthens our communication with high school counselors who work with students and parents. Other techniques and methods of communication utilized by our office include mass mailing, group meetings, and radio and television presentations.

III. Awarding Aid

The financial aid process has to be controlled so that it flows smoothly from application to receipt of funds by the student. Program control is, in large part, the implementation of planning. It includes scheduling, maintaining of records and files, exercising adequate fiscal controls, and directing overall organization. Major points considered in program control are:

1. Establishment of an operational calendar.
2. The establishment of a flow procedure for processing flow applicants.

Once an operational calendar was established for our office indicating key deadline and processing dates, we established administrative procedures that allowed efficient processing of applications.

3. Data processing system - The financial aid computerized system is a comprehensive processing system including processing of applications, monitoring of information, tracking student information, awarding financial aid funds, reporting financial aid programs, and notification of financial aid awards.

IV. Reporting the Aid Program

Because the Office of Financial Aid typically makes numerous reports to federal, state, and other agencies, and also to the University offices, we need to know whether our programs are meeting our objectives. Answers must be readily available for such questions as:

1. How many students receive what kind of aid?
2. How many apply?
3. What class?
4. What income category?
5. What kinds of packages were awarded?

The Office of Financial Aid requires this information to report on and evaluate accurately our program management and plan effectively for the future.

V. Evaluating the Aid Program

The evaluation of aid programs include the assessment of results in relation to office goals. Research is utilized to determine whether program operations are consistent with established goals. In addition, questions concerning operational procedures and principles arise constantly in the day-to-day conduct of financial aid business. Without the firm knowledge acquired by researching these problems, an administrator can only guess at the impact a specific procedure is having on the students and their parents, the university, or the society. Other evaluation tools have been discussed in separate questions within this report (please see questions 17 and 18).

VI. Federal Legislative and Regulatory Changes

It is mandatory for the Financial Aid Office to keep abreast of changing federal regulations governing the administration of financial aid programs. Much of the higher education aid comes from the federal government; therefore, heavy mandated regulations are imposed upon financial aid administrators.

In order to keep abreast of the various changes in legislation, our office attends various external training programs. Internal training programs are also needed to assure compliance with federal laws and to assure maintenance of responsible administration.

2) Office of Financial Aid Delivery System

The Office of Financial Aid appreciates the opportunity to provide the COPE Committee with an overview of the student financial aid process. We hope this information will be beneficial to you as you begin evaluating our office.

The following attempt is a brief overview of each of the steps that occur in the student aid delivery system so you can better understand the various functions performed by each of the external and internal parties involved, as well as acquainting you with the forms and applications utilized in the process.

In the beginning of this overview, let us review the primary parties who are typically involved in the student aid delivery system:

1. The Student, and his/her family, who initiates an application for student aid and is responsible for completing various forms to determine his/her program eligibility;
2. The High School Guidance Counselor, who provides general financial aid information and information on how to apply for admission and or financial aid at various institutions;
3. The Centralized Need Analysis Services, which are responsible for processing student need analysis reports and disseminating this information to institutions, state and federal agencies;
4. The Federal Government, which is responsible for legislation, appropriations and overseeing the administration of the title IV student aid programs as well as operating the Basic Educational Opportunity Grant (BEOG) program;
5. The State Agencies, which provide funds in the form of grant, work, and loan programs to qualified students in their state;
6. The Commercial Lending Institutions, which provide guaranteed student loans to eligible students; and
7. The University of Delaware, Office of Financial Aid, which has the primary responsibility for coordinating and administering all title IV programs, as well as other federal, state, institutional, and private aid sources.

In order for the student to be served effectively, it is essential that each of the various partners perform his/her responsibilities efficiently, while at the same time carefully coordinating their work with the various parties.

Let us now review the steps which normally occur in the delivery system.

Step A: Student Contacts Counselor or University of Delaware Aid Administrator

Frequently, the first person the student contacts to obtain information about financial aid is the high school guidance counselor or the Delaware Financial Aid Administrators. The high school counselor normally advises the student about the academic programs offered at various postsecondary educational institutions, disseminates information on how the student can apply for admission and/or financial aid, and provides the student with the required need analysis and application forms.

Step B: Student Contacts Institution and/or State Agency

Based on the information the student receives from the high school guidance counselor, he/she will contact the institution(s) (University of Delaware) which he/she plans to attend in order to obtain the admission and/or financial aid information and forms. Next the University of Delaware responds to the student's request by providing him/her with the appropriate material. The student then will complete the admissions and/or financial aid application and return the appropriate information to the University of Delaware. During this phase, the student and/or family is usually required to submit an application to the state agency in order to be considered for state aid. It is important to note that this procedure varies from state to state. Some states offer a decentralized program which may be administered directly by the institution, other states secure the need information directly from the centralized need analysis services or the federal government's Basic Grant processor, and still other states have separate student aid application forms. In the geographical area in proximity to the University of Delaware, the following states require submission of application to the state agency - New Jersey, Pennsylvania, and Delaware. The state of Delaware has, both, a decentralized state financial award system and a centralized state financial award system. For example, the University of Delaware receives direct financial aid line item appropriations. The Postsecondary Education Commission has scholarship funds which require a separate student aid application.

Step C: Student Submits Data to Centralized Need Analysis Service

Depending upon the need analysis service that is used by the institution or state, the student and his/her parents now will complete the need analysis forms and will mail them to the centralized servicer (the University of Delaware utilizes the College Scholarship Service and the College Entrance Examination Board). The centralized servicers processes the need analysis input document and returns a copy of the analysis to the student and/or parents. If the data is incomplete or inconsistent, the centralized service will request supplemental information from the student and/or parents in an attempt to resolve the differences. Internal edits within these systems enable

the services to check the accuracy of the information or to identify any unusual family circumstances.

Step D: Need Analysis Agencies Provide Output to Institutions, State Agencies, and the Federal Government

The need analysis services provide a print-out and analysis of data received from the student to each of the institutions (University of Delaware) specified by the student and to applicable state agencies. In addition to the print-outs, the need analysis services also provide this information to the various parties in punch card or magnetic tape format. This enables the University of Delaware to feed this information directly into their data processing system.

In addition, the University of Delaware's need analysis services are authorized to participate in the Multiple Data Entry system; as a result, are allowed to transmit the necessary data elements directly to the federal government's primary Basic Grant Contractor. This enables the student to complete one form and be considered for Basic Grant, state, or campus-based funds (National Direct Student Loans, Supplemental Educational Opportunity Grants, and College Work-Study) as well as institutional aid.

Step E: Federal Government's Primary Basic Grant Contractor Sends Data to Student, Institution, and/or State Agency

After processing the input data received directly from the student on a Basic Grant application or from the centralized need analysis services participating in the Multiple Data Entry system, the primary contractor prepares a Student Eligibility Report (SER) and sends it to the student. This document gives the student information as to whether he/she is eligible for a Basic Grant. However, the SER must be submitted to the University of Delaware in order to determine the specific amount of the award and to insure payment. The government's prime contractor also provides student eligibility information via roster and magnetic tapes to the University of Delaware and state agencies.

The events described thus far in our report occur primarily in the order in which they have been presented. However, at this point, due to the number of parties involved, the steps outlined below do not always occur in the order in which they will be described. Therefore, coordination between parties is of the utmost importance. For the purposes of our COPE report we will define the steps in their most desirable order.

Step F: University of Delaware Receives Student Eligibility Report from Student and Notification from State Agency of Aid Awarded

After the student has received the Student Eligibility Report (SER) from the government's prime contractor, he/she is required to submit it to the University of Delaware or the institution

he/she plans to attend. As previously stated, this document is needed not only by the University aid administrator in order to disburse funds, but is also used in determining the remaining financial need of the student. Frequently, the student does not submit the SER to the institution on a timely basis, thereby forcing the institution to re-award students through a complete re-analysis of data and a re-printing of award notification. In these cases, the University aid administrator must have the information at the time he/she determines the student's aid package or may need to make an adjustment in the student's award at a later date. This is a substantial problem in awarding aid because of the frequent changes. Likewise, at this time the state agencies normally will notify the University of Delaware of the student's eligibility for state funds. In those few states where the funds are controlled by the institution, this coordination is less critical. However, in the majority of states, including Delaware, the award notification is sent directly to the student and/or University of Delaware.

Step G: Institution Determines Student's Eligibility, Need for Funds and Develops the Financial Aid Package

Once the institution has received all of the necessary information from the various parties, it can begin the time-consuming task of reviewing each individual student case. The Financial Aid Office has attempted to alleviate the problem by implementing a monitoring process through the new computerized Financial Aid System. However, a large portion of cases, estimated at 40 percent, require re-evaluation. Specific items reviewed by the institution at this point include:

1. The student's academic status, ie., Has the student been admitted to an eligible program? If currently enrolled, is the student maintaining satisfactory progress? Has the student completed a bachelor's degree?

2. The student's eligibility for specific aid programs, i.e., Is the student a citizen or permanent resident? Is the student enrolled at least half-time? Is the student in default on a loan made, insured, or guaranteed for attendance at that institution? Does the student owe a refund on grants previously received for attendance at the institution? Is the student eligible for funds after taking into consideration the statutory annual and aggregate limits of program funds?

3. The student's documented financial need. The University of Delaware's aid administrators review each of the need analysis documents to verify the accuracy of demonstrated need and to make any needed adjustments when circumstances so warrant. As part of the verification process, the University of Delaware requires some of our applicants to submit copies of income tax returns or documentation of non-taxable income sources. In addition to this voluntary data verification, the federal government has recently

initiated formal validation procedures which must be performed by the University of Delaware's Financial Aid Office for those students who have been selected by the government for its validation.

As part of determining the student's financial need, the University of Delaware must determine the cost of education budget, taking into consideration the required tuition and fees, books and supplies (costs may vary due to academic program), room and board, transportation costs, and other reasonable miscellaneous expenses. Please note that many students change their campus, off-campus residence and also their number of credit hours, thus necessitating many adjustments in awards after the student enrolls at the University of Delaware.

4. The development of the student aid package. After completing the above procedures, the University of Delaware must determine the dollar amounts which the student will receive from each of the programs for which he/she is eligible. Normally, the final aid package consists of a combination of grant, loan, and work dollars.

5. Preparing an award letter. After all of the above steps are completed, which involved many new specific steps with inputting material with a computer system, the University of Delaware prepares an award letter which is sent to the student. This letter notifies the student of the terms and conditions of each of the aid programs, as well as the amount of aid he/she can expect to receive from each source. In those cases where the student's need cannot be met from available resources, the student is provided a letter of information which may suggest alternative sources of funding.

Step H: Student Receives Award Letter and Returns it to the Institution

At this point, the student has the opportunity to review the financial aid package awarded by the University of Delaware. In some cases, the student may have an award from more than one institution and must decide which institution to attend. Once the student has reached a decision, he/she is required to return a signed copy of the award letter to the University of Delaware. In addition, the student must complete and have notarized the affidavit of educational purpose which is now a part of the award material. Many students contact the Financial Aid Office to explore additional sources of aid at this point.

Step I: Student Applies to Commercial Lending Institution for Guaranteed Student Loan

Still another option, which is pursued by many University of Delaware Financial Aid students who need additional financial aid or funds to replace the expected family contribution, is the guaranteed student loan program. In all cases, the

student completes the GSL application, and takes it to the University of Delaware's Financial Aid Office for certification of enrollment, costs of attendance and financial aid awarded. The GSL application then is returned to the student for submission to a commercial lending institution or directly to a state agency.

The lending institution or state agency determines the student's eligibility for the loan, and submits the GSL application to the federal processing center for endorsement. The federal processing center then returns the GSL application to the lending institution or state agency, which in turn prepares the promissory note and a check for the student. In the majority of cases, the check is mailed either directly to the University of Delaware for disbursement to the student or made payable jointly to the student and the institution, thereby requiring the University of Delaware's Financial Aid Office's endorsement. The University of Delaware's Financial Aid Office is involved not only in the disbursement of the funds, but is also required by regulations to complete the lender and/or state's agency of any change in the student's enrollment status.

This concludes our overview of the basic student aid delivery system and the steps performed by each of the parties. The steps A - H usually occur between the months of January-September. As a result of the heavy amount of activity between the various parties, the time-frame is very constrained. Naturally, the various participants in the delivery process do make errors ranging from families omitting data on applications to the Office of Education announcing award levels late.

In addition to the steps which we have just described, the Financial Aid Office must also perform numerous administrative, counseling, fiscal and reporting procedures.

The specific regulatory requirements and administrative procedures, however, vary for each of the programs, thus necessitating careful coordination and control within the Financial Aid Office. This is not only true for the campus based aid program (National Direct Student Loan, Supplemental Educational Opportunity Grant, College Work Study Program) but for the other title IV programs as well. Two of the largest federal programs the Office of Financial Aid administers are the Basic Educational Opportunity Grant Program and the Guaranteed Student Loan Program.

In the Basic Grant program alone, the Financial Aid Office has been forced to build duplicative record systems in order to conform to the Basic Grant regulations. The following outlines some of the institutional administrative reporting and fiscal operations which must be carried out under the Basic Grant program:

Steps		How Often
1.	Eligible for BEOG	One Time Only
2.	Sign and Return Terms of Agreement	Annually
3.	Receive Initial Authorization	Annually
4.	Request Funds for National Institute of Health	Monthly, or as Needed
5.	Submit October Progress Report and Request Revised Authorization Ceiling	Annually
6.	Submit February Progress Report and Request Revised Authorization Ceiling	Annually
7.	Request funds from National Institute of Health	Monthly, or as Needed
8.	Submit June Progress Report and Request	Annually
9.	Receive Final Authorization	Annually
10.	Receive Student Validation Roster	Annually
11.	Submit Validated Student Roster	Annually

In addition to these steps, the University of Delaware is required to:

1. Maintain individual student records on each student receiving Basic Grant Funds;
2. Check enrollment eligibility criteria on each individual student prior to disbursing Basic Grant Funds;
3. Check enrollment status on each student prior to disbursement of Basic Grant funds;
4. Review student data on each individual Student Eligibility Report and counsel all students on incorrect or incomplete data prior to approving eligibility;
5. Make individual award calculations regarding the student's status and actual educational cost before disbursement of funds;
6. Coordinate and package Basic Grant funds with all other student assistance funds;
7. Calculate appropriate refunds for the student who withdraws or changes enrollment status during the academic period;
8. Provide students with individualized counseling regarding the Basic Grant program and all phases of its operation;
9. Advertise and disseminate Basic Grant forms to students who are potential applicants to the program;
10. Maintain appropriate fiscal records for all Basic Grant recipients;

11. Prepare cumulative data on Basic Grant disbursements for the annual Financial Application to Participate in Federal Student Financial Aid Program Form;

12. Audit all Basic Grant data and report inconsistent data to the Office of Education for review.

These required steps have more than doubled the administrative reporting and the accounting burden in the Financial Aid Office in the past five years. Likewise, the Financial Aid Office has found that the Guaranteed Student Loan (GSL) program has substantially increased the administrative reporting and fiscal responsibilites. Currently the Guaranteed Student Loan regulations require:

1. Certify the enrollment and academic status of each student applicant;

2. Monitor and coordinate Guaranteed Student Loan awards with other student assistance programs;

3. Notify lenders on a timely basis of changes in student enrollment status;

4. Complete non-standardized annual enrollment verification forms for all state guaranteed agencies which are assisting students within a given institution;

5. Counsel and advise students on all phases of the Guaranteed Student Loan program;

6. Disseminate and publicize available Guaranteed Student Loan application forms for all students; and

7. Maintain adequate fiscal records regarding GSL disbursements. When one considers that there are different requirements for different states and lenders, the administrative responsibilities of the institutions become clearer.

To illustrate the complete role that the University of Delaware plays in administering each of these programs, allow us to refer you to the copy of the Institutional Guide for Self-Evaluation, which is included in with the COPE Report. This document has been prepared by the National Association for Student Financial Aid Administrators Association, as a tool to assist institutions in evaluating their total student aid operations. You can readily see, after reviewing the reporting and administrative steps for each program that the institutions clearly are the nerve center of the total process. In addition, we have included samples of some of the required reports which the Financial Aid Office at the University of Delaware must complete in order to participate in these programs. We have included these materials in an effort to illustrate the magnitude of these programs and the critical role that the Financial Aid Office plays in the delivery process (see attachment).

3) Office Budget and Support Accounts

See attachments.

(8) What other units on compus bear a special relationship to yours? E.G., what other units share common interests, similar or closely allied goals, staff in common, etc. Give specifics.

The Office of Financial Aid interfaces with all student affairs offices and many administrative offices. Specific offices that we interface regularly with include - The Office of Admissions, the Office of Records, the Office of the Treasurer, the Office of Accounts Receivable, the Office of Collection, the Office of the Comptroller, the Counseling Center, the Health Center, the College Try and Minority Center, Residence Life, Food Services, the Freshman Honors Program, the Athletic Department, and the Development Office.

In terms of closely allied goals, the Office of Financial Aid has proven to be an important office in influencing student's access to the University, retention in the University, and providing enough financial assistance so that students will have a choice of attending the University, as opposed to, only low-cost institutions within their respective states. Consequently, the Office of Financial Aid, in many respects, is similar to the Admissions Office in regards to recruiting and communicating with students in terms of gaining access to the institution.

The Office of Financial Aid is very similar to the Counseling Center in that it provides directive counseling to students in terms of how to participate in the programs, how to manage funds, and etcetera. The confidential financial aid counseling that takes place between families, students, and financial aid administrators is very sensitive. This counseling function is very similar to the University's Counseling Center function; however, the Office of Financial Aid has very specific counseling tasks that are related to resolving the problems that families face in financing a higher education for their son or daughter. When counseling students and families regarding financial aid circumstances, the Office of Financial Aid often identifies other emotional or personal problems that may impair a student's academic achievement. When identifying non-financial related problems, the Office of Financial Aid regularly refers these cases to the Counseling Center.

On occasion the Counseling Center and the University Health Center refers students to the Office of Financial Aid. Most of these student cases are related to student and family impasse situations where the parents refuse to help the student finance their higher education. The Office of Financial Aid can intervene on the family's behalf and help resolve the financial dimension of the family impasse.

The Office of Financial Aid is very similar to the Office of Accounts Receivable and Billing and Collection in that we are responsible for verifying student's account status, authorizing refunds of student financial aid monies in regards to legitimate educational cost expenditures.

The Office of Financial Aid is very similar to Records in terms of verifying and certifying the enrollment status, communicating with banks regarding student's enrollment status, and providing federal and state reports for appropriate federal and state agencies.

The Office of Contracts and Grants has similar functions to the Office of Financial Aid in regards to the fiscal accountability responsibilities. Both of these offices are required by law to be stewards of federal funds resulting in a mandated fiduciary relationship. It is imparative that the office dealing with public funds maintain accountability of managing the federal and state funds so that these offices will have fiscal credibility.

The Computing Center is closely allied with financial aid functions, as a result of, the recent development and implementation of a new computerized Financial Aid System. Several years of work were required to implement this system. In developing the Financial Aid specifications in aid processing, the Computing Center and the Office of Financial Aid maintain a common interest and trained staff consistent with financial aid program goals.

(9) Are there demonstrable needs for functions in your unit which are not met now? If so, please describe .

The Office of Financial Aid can demonstrate the following needs in order to implement significant functions in the administration of financial aid programs:

1. The Office of Financial Aid needs increased support account money to secure efforts in the dissemination of financial aid information (currently under consideration).
2. The Office of Financial Aid needs additional staff, specifically, in the data processing technical area and in the professional counseling area in order to handle the increased responsibilites resulting from the increase in student applicants and reporting requirements (currently under consideration).
3. The Office of Financial Aid requires more support to be able to do more in the research area, as opposed to, just a maintenance of the operation area. As a result of increased research in the financial aid programs, we believe that we can develop data to justify increased federal and state student financial aid revenues, and also, private funds.

4. The Office of Financial Aid is currently undergoing deliberations regarding the reclassification of salary levels for staff and professionals in the office. Based upon comparative studies of institutions of similar size, we feel there is justification for reclassification of salaires for both professional staff and regular staff (under consideration).
5. The need for increased research concerning financial assistance for continuing education students and to increase services to graduate students.
6. Increase in the data processing programing area to improve the delivery system of financial aid award notification.
7. Promotion of understanding of financial aid services.
8. The further refinement of computer technology to facilitate the administration of the Guaranteed Student Loan Program.

(10) What relationship has the unit, if any, to Continuing Education programs, services, and students?

Currently, federal financial aid programs are not available to students that are enrolled in continuing education programs. Essentially, the continuing education programs do not meet specific program eligibility requirements for the student financial aid funds. However, the reauthorization legislation that extends the current financial aid programs involves consideration for extending financial aid eligibility to part-time and less than part-time students. The Financial Aid Office has from time-to-time written and discussed with continuing education personnel the possibility of working together to further research the eligibility of continuing education students. We firmly believe that with the change in student enrollment patterns that the evaluation of continuing education students' eligibility for financial aid programs merits serious consideration. The Office of Financial Aid has met with the Returning Adult Student's Association and with personnel of the Continuing Education Services regarding programs that are available to students coming from the Continuing Education Program into a regular matriculated degree program. The Office of Financial Aid has also shared information to the Commission on Life-Long Learning regarding alternative financing policies for adult students. The Office of Financial Aid has been invited to consult the United States Office of Education regarding how non-traditional and self-supporting students can finance a higher education.

(11) What factors have contributed to the unit not being able to achieve total success in all of its functions?

The Office of Financial Aid believes more financial aid information needs to be shared with the University Community regarding the purpose and service of the Financial Aid Office.

Financial aid has emerged as a critical factor influencing the student's decision to go to college and to be retained in college; as a result, financial aid is a critical factor in providing stability for the student enrollment.

The following factors impaired the Office of Financial Aid's ability to achieve success in all of its functions:

1. The Office of Financial Aid had a lack of adequate staff.
2. The Office of Financial Aid had a lack of facilites.
3. The Office of Financial Aid had a lack of support technology.
4. The Office of Financial Aid had a lack of support account funding.
5. The Office of Financial Aid had a need for a reclassification of salary structures.

All of these factors have been addressed and are currently under consideration.

(12) What consulting, service, or other contributory activities does the unit specifically perform inside and outside the University community?

The Office of Financial Aid has been responsible for making significant contributions to the following outside agencies - Delaware Postsecondary Education Commission, Academy of Medicine, Delaware Guaranteed Student Loan Program, Delaware Postsecondary Education Commission, Delaware State Student Grant Training Program, Delaware High School Financial Aid Seminars, U.S. Office of Education, Regional Federal Government Agencies, Brookings Institute, National Association of Student Financial Aid Administrators, Eastern Association of Student Financial Aid Administrators, the Delaware, District of Columbia, Maryland Association of Student Financial Aid Administrators, Eastern Association of College and Universities Business Officers, Middle States Association of Admissions and Registration Officers, College Entrance Examination Board, Middle States College Examination Board, College Scholarship Service, American College Testing Program, and the State of Kansas Board of Regents. The Office of Financial Aid made presentation to the above groups or, specifically, consulted with these groups in terms of particular problems or issues involved in the administration of financial aid programs.

The following groups include areas within the University that we have provided consulting services to - the Athletic Department in the administration of Athletic Scholarships and the Title IX monies, the College Try Program in assisting minority students, the Freshman Honors Program in the administration of Freshman Honor Scholarships, the President's Achievement Award, Paynter Scholarship, Sharp Scholarship, and all other merit or academic scholarships. We have consulted with the Admissions Office, the New Student Program, and the Dean of Students Office in the student orientation, and we have held seminars in the dormitories for the Residence Life area.

We have administered the discount of the Prescription Program for the Student Health Service Program. We have advised the Alumni Association regarding the awarding of scholarships. We have advised the College of Engineering, the College of Human Resources, the College of Business and Economics, and the College of Arts and Sciences (specifically the Music Department) regarding the administration of specific scholarships for their students. We provide services to the Food Service Department regarding the employment of students and we are involved with all the different colleges in terms of the Teaching Assistantship Program and all faculty departments in terms of any student employment through the federal College Work-Study Program. We have advised the University administration regarding the Office of Civil Right's policies, we have been asked to represent the University regarding federal regional position on higher education, and we have served on several Student Affairs Committees.

D. Unit Personnel Summary:

(13) Present the personnel organization chart of the unit, specifying all positions, both professional members and staff, included in the unit. For each type of position, prepare a statement of minimal qualification and duties.

See enclosures that are indexed and that provide answers to this question.

(14) What is the personnel "turnover" rate in the unit for the past three years? What reasons or factors contribute to this turnover rate? How has it affected the unit's functions?

In 1978-79 we had one retirement and three promotional transfers from the Office of Financial Aid to other offices within the University. The unit was affected to the extent that the remaining personnel were over extended. The over extension of responsibilities resulted in a doubling up of duties, over-time hours, weekend working, and etcetera. The Director implemented various techniques to improve internal staffing problems, including, flex-time, reorganization of responsibilities, and a campaign to secure reclassification of all salaries. The unit's functions were maintained as a result of the office personnel doing their work on the basis of extra effort. There has been no break in the heavy load of administration within this office for the year 1978-79.

Other than the turnover for the year 1978-79, there was the retirement of the Director in 1976-77. Other than those turnovers, there has been no specific turnovers in the Office of Financial Aid in the past three years.

(15) What are the projected personnel (all levels) needs for the unit for the next three years? Please relate this answer to items B-5 and C-9, above.

In terms of the projected needs and current staffing needs of the Office of Financial Aid, we have attached two organizational charts which demonstrate the type of staffing and what we feel is adequate to complete our tasks. In addition, as a result of the growth of the financial aid programs, in both scope and complexity, the Office of Financial Aid projects additional personnel needs in the data processing technical area and in the counseling area in terms of providing student consumer information. We may also need additional staffing in the Work-Study area depending upon the outcome of requests for the 1979-80 budget and the implications of data processing on the relief of certain operational tasks. The personnel positions in data processing, counseling, and Work-Study relate to specific objectives of maintaining responsible management and utilization of technology, promotion of the Work-Study Program and maintenance of a proper service orientation to our students.

E. Evaluation of Unit Functions:

(16) Describe the major strengths and weaknesses of the unit's functions as they relate to unit goals and purposes.

In terms of the broad goals of access, retention, and choice, the unit is strong, specifically, in providing funding levels to in-state residents.

In terms of the goals of being both responsible and responsive, the unit is extremely strong in having very capable personnel that work as a cohesive unit and operate under challenging, demanding, and stressful conditions. The unit believes that the implementation of sophisticated computerized technology will be a strength in this office and is necessary for proper management.

In terms of the weaknesses, the office is weak in access, retention, and choice for out-of-state exceptionally needy students. The cost of higher education exceeds the federal and reciprocal state funds available to help needy out-of-state students meet their costs at the University of Delaware. Efforts are also needed to improve the image and to inform the higher education community of the services and contributions of the Financial Aid Office in terms of helping finance a postsecondary education.

(17) Describe the processes, procedures, and criteria that have been (last 3 years) or that are currently employed to evaluate the quality of unit functions? Have any inter-institutional studies or surveys been completed which suggest how the unit compares with similar ones in other universities?

The Office of Financial Aid uses the following assessment tools to evaluate both the quality and quantity of the Office of Financial Aid's performance:

1. Student evaluations (attachment).
2. University of Delaware professional evalutations (attachment).
3. University of Delaware regular salary staff evaluations.
4. A review of professional activity and recognition by professional peer groups.
5. Office assignments by Director are reviewed during weekly meetings and verbal evaluations and suggestions are made.
6. Internal auditor recommendations are evaluated and follow-up is done regarding specific areas of the Financial Aid Office's responsibilities (also external evaluations).
7. The experience of the Director of Financial Aid is drawn upon to determine the proper quantity output for specific assignments. The multi-dimensional makeup of the financial aid tasks and the broad scope and complexity require specific technical know-how to evaluate both quantity and quality work. Several comparative studies have been made by the Office of Financial Aid to evaluate our status in terms of staffing, salaries, and etcetera. We did our own salary survey, we requested a survey by the Office of Employee Relations, and we utilized national survey information from college and university personnel association studies.
8. In terms of office evaluation, we surveyed students through a written survey.
9. The Institutional Research Office shared with us numerous studies concerning the impact of financial aid programs on students attending college.
10. The Institutional Research Office, at our request, did a study on the different costs involved in going to college so that we might have updated information to persuade the Federal Government for additional funds for out students.
11. The Office of Financial Aid regularly receives surveys and studies from the National Association of Student Financial Aid Administrators, the College Entrance Examination Board, the Office of Education, and Congress regarding various studies impacting upon the administration of student financial aid programs.

(18) To what extent have the "user", "clients", or "consumers" of the unit's functions been asked to evaluate those functions? Please be specific and present available data in summary form. What consumer groups are the major users of the unit's functions?

Student evaluations were utilized, as mentioned previously (see attachment). Regular federal and state reports are submitted for review by federal and state agencies in terms of adherence to responsible management of operations. In addition, the office is regularly audited by the internal and external auditor in compliance with federal and state regulations. The following consumer groups are groups that utilize these evaluations - students, parents, administrators, faculty, and state and federal agenices.

(19) What areas of the unit's functions are considered to be important contributions to the field of service? What aspects of the unit's functions are especially creative?

The five basic functions of the Office of Financial Aid each make a service contribution. The five basic functions include - 1) planning aid program; 2) communication with the applicant; 3) awarding aid; 4) reporting activities of the aid program; 5) evaluating the aid program. Usually, the Office of Financial Aid is asked to assist state and university parties concerning financial aid administrative problems. Often, the office is able to assist the University in planning their student scholarship programs and assisting individual colleges or departments regarding planning the implementation of a specific scholarship program. These respective services were discussed in questions 6, 12, and 17. In addition, communication with the applicant includes services of presentation that also were discussed in question 12, and included the high school seminars and professional presentations to various professional admission groups, record officer groups, business officer groups, and financial aid administrator groups, as well as, to the Brooking Institute Seminar for capital hill staff members serving on various congressional legislative committees.

The function of reporting and the evaluations of the aid program is proven to be helpful to the University and state in terms of planning and providing a data base to the institution and the state for evaluation of University, at large, policies. Reporting and consulting with various other administrative offices, for example, Accounts Receivable and Billing and Collection, regarding the procedures that they should follow in the collection of student loans has been a significant contribution resulting in the improvement of responsible management in the loan collection area.

*In terms of functions that are especially creative, we feel that the implementation of our preliminary award is creative in terms of giving a family an early indication of where their ability to finance a higher education stands in the college planning process. Also, we feel that the utilization of the Student-to-Student Program and the counseling area and our different techniques of communicating with the applicant are areas that are creative in terms of utilization of brochures, media techniques, and presentations.

*See attached "Creative Project"

(20) What type of evaluation of the unit would yield the most valid data in your judgement?

1. An on-site peer visit by recognized, informed financial aid administrators.
2. A survey of the size, the staff, and the salaries of similar institutions.
3. A program review visit by the Office of Education.
4. A campus-wide student questionnaire.

F. Unit Management:

(21) Give a complete description of the organization of the unit. What is its operational structure? How and by whom are unit goals/policies established? How and by whom are operating practices established in the unit? (Answers to these questions should provide the reader with a succinct picture of the organization and management of the decision-making, advice-giving, and operation of the unit.)

The organization chart of the unit was presented in question 13 and provides an outline of the operational organization and structure.

In reference to planning, the Office of Financial Aid bases its planning upon specific goals. The goals are measurable and flow from and implement the department (Office of Financial Aid) philosophy.

A. Long range planning is developed by establishing specific goals per month, per academic year, and per four year reauthorization of federal student financial aid legislation. Copies of our monthly goals, our yearly goals, and our most recent submission of specific comments on federal reauthorization are attached.

B. Short range planning - Short range planning is comprised of specific operational procedures and includes the following method of operation.

1. Weekly planning meetings with professional staff.
2. Weekly planning meetings with regular salaried staff.
3. Weekly meetings with the Vice President for Student Affairs and Administration.
4. Periodic meetings with the entire Office of Financial Aid, professional and regular salaried staff.
5. Specific tasks broken down monthly.

C. Summary and comments regarding planning - The planning and function of the Office of Financial Aid involves input from the total office ranging from brainstorming sessions amongst professionals to feedback sessions with

regular salaried staff and student advisory comments from students working in the Financial Aid Office. A process that might be referred to as "know thyself" is undertaken to determine the needs and strengths of the institution and the interfacing of the Office of Financial Aid. For example, we assess the Office of Financial Aid services that are available and we determine what resources can be optimized to serve the University. A great deal of student financial assistance funding is derived from the Federal Government, and as a result, the Office of Financial Aid planning includes a monitoring process of the federal student financial aid legislative arena. The legislative monitoring process assures the University of Delaware, Office of Financial Aid, of maintaining an informed position regarding national congressional student financial aid legislation and policy.

(22) Describe all personnel evaluation and promotion procedures used in the unit. What specific problems do you identify in this area?

The Office of Financial Aid uses the following assessment tools to evaluate both the quality and quantity of the Office of Financial Aid performance:

1. Student evaluations.
2. University of Delaware professional staff evaluations.
3. University of Delaware regular salary staff evaluations.
4. A review of professional activity recognition by professional peer groups.
5. Assignments by the Director reviewed during the weekly meetings and verbal evaluations to suggest different things.
6. Internal auditor audit recommendations are evaluated and follow-up is done regarding specific areas of the Financial Aid Office's responsibility.

The experience of the Director of Financial Aid is drawn upon to determine the proper quantity output for specific assignments.* A multi-dimensional makeup of the financial aid tasks and the broad scope and complexity of the job requires specific technical know-how to evaluate both quantity and quality work. Problems regarding personnel evaluations are that the institution has minimal merit raises available to units that perform outstanding services; these merit raises do not cover the annual inflationary costs of living. Also, hires are at entry levels. The Employees Relation Office is usually under staffed and trying to perform a comprehensive study of an administrative unit that they have limited orientation to, resulting in a tendency to go with standard functions, as opposed to, critically evaluating significant contributions from different units.

*Unit managers are responsible for evaluating specific acceptance within the areas (see organizational charts).

(23) Describe all personnel training and staff development activities by the unit for employees of the unit. What special problems do you identify in this area?

This question was answered, in part, in question 21. Refer to the attached outline for a specific outline of our in-service training program. In addition, the Financial Aid professional staff and, on occasion, key members of the regular salary staff are required to participate in in-service workshops offered by the Office of Education and by the state in order to keep abreast of changes in federal financial aid or state programs.

G. Survey of Major and/or Chronic Problems/Concerns Confronting the Unit:

(24) Describe the major/chronic problems, issues, or concerns you identify as confronting the unit currently. What different problems do you project over the next three years? For each problem, please share your thoughts on effective possible solutions.

Specific problems were discussed, in my opinion, in the answers to questions 9 and 11.

Major general problems and issues are:

1. A major problem facing higher education that impacts directly upon our department's unit function is the escalating cost of higher education (the financial implications of an inflationary economy).
2. A significant problem is the retrenchment of the student population which places even greater emphasis on the importance of attracting students to education institutions which can offer a discount of tuition through responsible and responsive financial aid program management. In the next few years, financial aid will emerge as a dramatic factor which influences the attendance rates of students entering a higher education.
3. The problem of heavy regulatory intrusion by the Federal Government which places heavy administrative burdens on the unit's ability to administer financial aid programs.
4. I foresee the accountability of federal financial aid programs increasing as a result of the institution being a steward of federal monies and maintaining the fiduciary to the Federal Government.
5. Another major problem will be the American family's inability to, both, plan ahead in terms of financing the costs of a higher education and to manage their own financial affairs.
6. Need for improvement in the computerized financial aid delivery system.

Part of the solution to the problems the University faces is for the department to concentrate on better operational procedures in order to deliver awards to student and families and to personalize the communication approach. In addition, the unit has to direct its attention to image building and educating the public that financial aid programs are available to any family needing assistance to finance an education. Another solution is the continued reassessment of needs to finance an education and a continued maintenance of in-service training to allow the office to keep abreast of the continually changing nature of the financial aid field.

H. General

(25) Please comment on any of the above questions which you believe to be inappropriate or inadequate for contributing to an information base for an in-depth evaluation of the unit. What additional questions should be asked?

1. Question 6 deals with the educational goals of instructional research and service which, although, are related to the functions of the Financial Aid Office, do not emphasize on the contribution that the Office of Financial Aid makes in terms of attracting the student and family clientele to the University so that the other purposes of the University can be fulfilled.
2. Questions 12 and 19 appear to be almost a duplication.
3. Questions regarding three and five year planning are not necessarily appropriate to the type of planning that is required in the administration of financial aid programs due to the unique dependency of the financial aid programs on federal and state political processes. I think a general question should be included on how this unit contributes to the welfare of the University. This type of question would allow units other than purely academic units to respond more appropriately.
4. I also believe that the COPE Committee should undergo an orientation to the specific unit prior to submission of these questions so that there can be better feedback to the COPE Committee and a more effective communication process.
5. I think that the unit being studied should be given an opportunity to discuss with the COPE Committee the year targeted for scheduling the COPE Evaluation. This might prove to be mutually avantageous for both groups in terms of scheduling appropriate meetings.
6. I think questions regarding how a unit budgets its requests for institutional support is important and should be included in these questions.
7. Finally, I strongly urge the COPE Committee to review questions 7, 11, and 24. These questions will give the reader an understanding of what our office does.

(26) What measure of cost-effectiveness would you consider valid for your unit?

The Director of the Office of Financial Aid has some reservations in terms of utilizing cost analysis studies when evaluating the intrinsic nature of education. However, an eclectic process utilizing parts of the planning, programming, and budget system (PPBS), combined with zero-base budgeting and performance budgeting, are utilized to evaluate the cost effectiveness of our department. The PPBS system is basically utilized to determine what resources are related to specific goals, the establishment of objectives and goals, the evaluation of alternative programs, the benefits of each of the programs proposed, the evaluation of the success of the program, and revised planning. Zero-base budgeting is implemented in the sense that each year nothing in our budget is accepted without a rejustification of each cost center area. Performance budgeting is utilized in the sense that we focus our budget on activities and functions which produce positive results and we attempt to allocate resources on the basis of anticipated or historical results. The administration costs of the Office of Financial Aid are approximately less than 2 percent of the total funds administered by this office.

Essentially, the cost effectiveness of our department is made by comparing the total revenue of the Office of Financial Aid versus the total cost involved in the Office of Financial Aid administration. A specific review of cost control is done in cooperation with our accounting staff within the Office of Financial Aid and the Director of Financial Aid. The cost control involves identifying areas within our budget where significant costs are realized and where effective cost reduction can effectively produce results. For example, a cost area would be a support account which includes cost centers as follows: travel, supplies and expense, occupancy and maintenance equipment, information processing and inter-departmental charges. Within each cost center, such as travel, specific cost points are looked at and evaluated. Please refer to attached memorandum justifying travel cost. Any additional information regarding our costs effective evaluation technique is available upon request.

(27) Would you like to work with the Council of Program Evaluation (COPE) during 1979-80 in doing an in-depth review of your unit or would you prefer to postpone such a review for one or two years?

I am willing to work with the COPE Committee, but would like to discuss specific scheduling arrangements because of the heavy administrative requirements and currently full extension of staff personnel.